

700 KAR 1:010. Adult Literacy Program fund.

RELATES TO: KRS 158.795

STATUTORY AUTHORITY: KRS 158.795

NECESSITY, FUNCTION, AND CONFORMITY: The Education and Humanities Cabinet is authorized by KRS 158.795 to administer a statewide adult literacy program. The Governor's Commission on Literacy is authorized by KRS 158.795 to provide advice and counsel to the Education and Humanities Cabinet in administering the statewide adult literacy program and the provision of services in every county. This administrative regulation is necessary to assure uniformity in the administration of literacy program grants under the statewide adult literacy program.

Section 1. Program Purpose and Announcements. (1) The goal for the use of the literacy program grants is to encourage and promote the development and implementation of local literacy programs, or the improvement or supplementation of existing programs, in each county. Except as special circumstances require and as recommended by the Governor's Commission on Literacy, hereinafter referred to as the commission, no more than one (1) grant per county will be awarded each funding cycle.

(2) Funding cycle(s) during which applications will be received for the program will be announced annually. Deadlines for receiving proposals will be established and advertised in each county. More than one (1) funding cycle is anticipated annually, but this will be dependent upon the level of funding available and number of applicants funded during the first funding cycle.

Section 2. Eligibility Requirements. (1) The following may apply for funding:

(a) State agencies and units of local government (including county, municipality, city, town, local public authority and special district agencies). This also includes such intrastate entities as districts, councils of governments and multicounty units, and other state and local organizations and institutions.

(b) Profit or nonprofit public or private businesses.

(c) Community based organizations or subgroups of such organizations organized expressly for the purpose of providing adult literacy services and who are incorporated, or, are a legal entity, or who have an individual who accepts responsibility for appropriate use of the grant funds.

(2) To be eligible for funding, projects must:

(a) Provide or coordinate direct adult literacy services or provide training or technical assistance to such programs.

(b) Provide services to individuals age sixteen (16) and above who read at or below a fifth grade level, unless the application demonstrates the need and method for providing services to different ages and reading abilities, and can demonstrate that this is not a duplication of services.

(c) Be conducted in and applicable to use in Kentucky.

(d) Not charge for services except material costs may be borne by program participants; however, charges will be an exact rate paid by the program/service provider. In no instance will services be denied to persons who cannot pay.

(e) Show evidence of cooperation and coordination with other literacy programs within the community.

(f) Comply with nondiscrimination requirements.

(g) Show documentation of cooperative referral between literacy and adult basic education programs.

(3) Proposals which are incomplete, subcontract for services, duplicate existing programs in the locality, or which request funds beyond the allowable maximum may be rejected.

(4) Project expenditures eligible for funding may include salaries, training, travel, operating ex-

penses, books and materials, printing and duplicating, and equipment within limits set by the proposal guidelines. Construction expenditures are not eligible.

Section 3. Submission of Proposals. (1) Proposals must be submitted on application forms provided and within the deadline established in each funding cycle. A proposal submitted for consideration but not funded in any cycle may be resubmitted for consideration in any new funding cycle announced, providing signatures of responsible parties carry a current date.

(2) Proposals must be signed by a person who has the authority to obligate the organization to the terms of the grant or who accepts personal liability.

(3) Each applicant will be notified immediately by return postcard when a proposal is received by the commission.

Section 4. Evaluation of Proposals. (1) Project applications will be reviewed by the commission's Grant Development and Review Committee and one (1) individual involved in literacy programs in another state.

(2) After the application submittal deadline, applicants shall not be permitted to initiate contact with anyone involved in the review and evaluation process or to initiate changes in their proposal. Proposal changes or budgetary amendments may be requested by the Project Review Committee or its designee.

(3) The proposal screening process consists of the following steps:

(a) The Project Review Committee will evaluate each proposal not eliminated in the prescreening process. During this evaluation, the applicant may be contacted for additional information or clarification on the project. Criteria which will be utilized to evaluate the proposals will be:

1. The documented need for an adult literacy program, considering both the number of adults who cannot read or read well (as defined in Section 2(2)(b) of this administrative regulation) and the extent to which there are existing literacy programs in the county.

2. Qualifications and appropriateness of the applicant agency and agency staff to carry out adult literacy programs.

3. Quality of the implementation and operation plans, including clear objectives; methods for recruiting, training and managing volunteers; outreach plans; plans for standardized measures of student progress; and instructional design.

4. Ability to evaluate the effectiveness of the program.

5. Extent of cooperation and coordination with and support of other literacy programs.

6. Ability to keep required records.

7. Completeness and appropriateness of budget and cost effectiveness.

8. Strength of plans for continuation of projects.

(b) The Project Review Committee reserves the right to recommend for funding any, all, or none of the proposals submitted in response to requests for proposals. The committee may also choose to negotiate with competing applicants from any county to encourage a joint program.

(c) Recommendations of the Project Review Committee will go to the full commission for consideration. The recommendations of the commission will be forwarded to the Secretary of Education and Humanities Cabinet who will make the final decision regarding funding awards.

(d) Applicants selected for funding will be notified by mail of the decision of their proposals no later than sixty (60) days after the deadline established for the funding cycle.

Section 5. Funding Terms and Conditions. (1) State funds appropriated for literacy programs will be allocated by county, based on the percent of adults in that county as compared to the state total who have completed only the eighth grade or less. Funds not granted to that county during the first funding cycle each year will subsequently be made available statewide.

(2) Grant fund awards will be made in two (2) semiannual payments. The initial payment for fifty (50) percent of the award will be made at the beginning of the project period and the remainder will be made at the middle of the project period contingent upon the recipients meeting reporting and monitoring requirements. The entire grant may be paid at the beginning of project period when the applicant has a demonstrated need for receiving the payment at that time. If inappropriate or unapproved use of funds occurs, the remainder of the award may be suspended or revoked. Misused funds will be recovered.

(3) Funding of projects will be established by a document of grant conditions to be finalized after grantees are notified. The document will include requirements stipulated in this administrative regulation and in the application guidelines.

(4) To insure proper use of funds, grantees will be held accountable for project expenses in a manner acceptable to the commission and the Secretary of the Education and Humanities Cabinet. A separate bank account for each project requiring two (2) signatures on each check is required. All records will be kept for three (3) years after the end of the funding cycle, or until any audits have been completed.

(5) Grantees may invest grant funds and retain any interest earnings except that such earnings shall be deemed grant funds and be used only for express purposes of the grant and shall be reported in all documents recording project financing.

(6) After completion of each project grantees shall return any unspent grant funds.

(7) Equipment and material purchased with grant funds is owned by the grantee. If the grantee organization dissolves, the property must be given to an organization serving a public purpose and meeting nondiscrimination requirements. This organization will be selected by the commission.

Section 6. Reporting Requirements. (1) Grantees will be required to submit to the commission quarterly reports on progress of projects and financial expenditures and encumbrances. The quarterly reports are due ten (10) working days after the end of the quarter. A final report will be required within fifteen (15) working days of the completion of the project year. Reports will be in a format designed by the commission and may include but not be limited to request for demographic data, copies of materials produced, test results, equipment inventory, and financial activities.

(2) Grantees will be required to submit information in standardized summative form which reflects student progress in the adult literacy programs.

Section 7. Requirements for Public Access. (1) Individuals authorized by the commission may visit the project site at mutually agreed upon times to observe progress, provide guidance and analyze and publicize projects supported under this program.

(2) Sharing and distributing information and materials developed under this project is a major goal of this program. Therefore, except for confidential information clearly identified in the project proposal, the results of the projects will be made a matter of public record and grantees will make their projects available for public observation at mutually agreed upon times.

Section 8. Confidentiality of Information. (1) Data which is specifically identifiable to individual students is considered confidential and recipient of project awards will develop a written policy concerning its protection.

(2) Summative information which outlines progress of students and demographic information will not be considered confidential when no particular individual can be identified by the information.

(3) The commission reserves the right to use and disseminate information and data derived from the use of these project funds to the extent such information is not protected by any claim of confidentiality. (12 Ky.R. 1194; Am. 1508; eff. 2-4-86; 13 Ky.R. 1260; eff. 2-10-87.)